

RESOLUTIONS 1990-91 SESSION

Resolution No.	Date of Meeting	Title of Resolution	Action	Remarks and/or Committee Referral
				The following represent "Remarks by the Administration" 6/6/91:
90/1	5/4/90	A Resolution of Appreciation for Raymond R. Fox	Adopted by acclamation	Noted
90/2	5/4/90	A Resolution to Amend the University Calendar	Adopted 5/4/90	Accepted and Implemented
90/3	5/4/90	A Resolution for a Pilot Student Orientation Course	Referred 5/4/90	Referred to the Executive Committee; subsequently referred to the Educational and Admissions Policy Committee
90/4	5/4/90	A Resolution to Improve Student Advising	Referred 5/4/90	Referred to the Executive Committee; subsequently referred to the Educational and Admissions Policy Committee
90/5	9/14/90	A Resolution to Amend the <u>Faculty Organization Plan</u> to Change the Frequency of Stated Meetings of the Faculty Assembly	Adopted 9/14/90	Adopted by the Faculty Assembly 1/22/91; Approved by the Board of Trustees 3/21/91
90/6	10/12/90	A Resolution to Establish A Special Committee to Study the Structure and Functioning of the Faculty Senate	Adopted 10/12/90	
90/7	11/9/90	A Resolution to Establish A Special Committee to Formulate a Faculty Position on Affirmative Action/Equal Opportunity at The George Washington University (substitute)	Adopted, as amended, 11/9/90	

(continued)

Resolution No.	Date of Meeting	Title of Resolution	Action	Remarks and/or Committee Referral
				("Remarks by Administration" cont'd)
90/8	12/3/90	A Resolution to Amend the University Policy on Equal Opportunity to Add the Words "Sexual Orientation" with accompanying Report	Adopted, as amended, 12/14/90	New statement approved by the Board of Trustees 5/16/91*
90/9	12/3/90	A Resolution to Endorse Guidelines for Searches for Deans of The George Washington University with accompanying Guidelines	Adopted 12/14/90	Accepted and Implemented*
90/10	1/18/91	A Resolution Changing the Name of the Faculty Senate Committee on Athletics to the Committee on Athletics and Recreation	Adopted 1/18/91	Noted
90/11	2/8/91	A Resolution to Amend and Clarify the University Policy on Misconduct in Science and Related Matters	Adopted 2/8/91	Accepted and Implemented
90/12	2/8/91	A Resolution to Amend the <u>Faculty Code</u> to Clarify its Relationship to the University Policy on Misconduct in Research	Adopted 2/8/91	Approved by the Board of Trustees 3/21/91
90/13	3/8/91	A Resolution on Principles Governing the Utilization of Regular, Active-Status, Non-Tenure-Accruing Faculty Positions	Adopted, as amended, 3/8/91	Understand Resolution as not requiring any modification in present practices of any unit of the University with respect to the terms or types of faculty appointments being made.*

*See "Administration Response to Resolutions from the Faculty Senate 1990-91 Term" for more detail.

(continued)

Resolution No.	Date of Meeting	Title of Resolution	Action	Remarks and/or Committee Referral
				("Remarks by Administration" cont'd)
90/14	4/12/91	A Resolution on Parking	Referred, 4/12/91	Referred to Fiscal Planning and Budgeting Committee
90/15	4/12/91	A Resolution to Provide Retirement Opportunities and Incentives for Senior Members of the Faculty	Adopted, as amended, 4/12/91	Council of Deans are willing to appoint such committees but only if the charge of the group would include the development of guidelines for a regular policy of post-tenure reviews of tenured members of the faculty. The date of 1/1/92 for the Deans to forward their plans to the Vice President for Academic Affairs is unrealistic.*
90/16	4/12/91	A Resolution to Establish Faculty Task Forces on Affirmative Action/Equal Opportunity	Adopted 4/12/91	Under review while awaiting report of President's Advisory Committee for Recruitment and Retention of Minority and Women Faculty.*
90/17	4/12/91	A Resolution Recommending the Establishment of a University Publications Office	Withdrawal requested by Committee; approved by Ex. Cmte. 4/19/91	

*See "Administration Response to Resolutions from the Faculty Senate 1990-91 Term" for more detail.



THE PRESIDENT

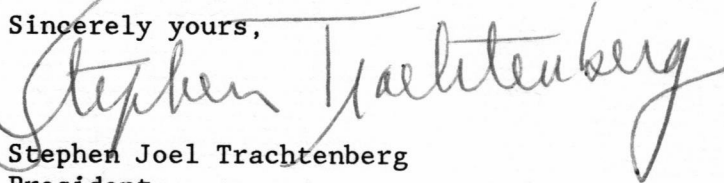
June 6, 1991

Professor William B. Griffith
Chairman, Executive Committee
Faculty Senate
Phillips 525
CAMPUS

Dear Professor Griffith:

Enclosed with this letter you will find the Administration's
Response to the Resolutions sent forward from the Faculty
Senate during the just concluded 1990-91 academic year.

Sincerely yours,



Stephen Joel Trachtenberg
President

Enclosure

SJT/rlc

6/12/91 mailed to Ex Com

Administration Response to Resolutions from the Faculty Senate

1990-91 Term

Resolution 90/1: *A Resolution of Appreciation for Raymond R. Fox*

Response: Noted.

Resolution 90/2: *A resolution to Ammend the University Calendar*

Response: Accepted and implemented.

Resolution 90/3: *A Resolution for a Pilot Student Orientation Course*

Response: No action required at this time.

Resolution 90/4: *A Resolution to Improve Student Advising*

Response: No action required at this time.

Resolution 90/5: *A Resolution to Amend the Faculty Organization Plan to change the Frequency of Stated Meetings of the Faculty Assembly*

Response: Adopted by the Faculty Assembly 1/22/91; Approved by the Board of Trustees 3/21/91.

Resolution 90/6: *A Resolution to Establish a Special Committee to Study the Structure and Functioning of the Faculty Senate*

Response: N/A

Resolution 90/7: *A Resolution to Establish a Special Committee to Formulate a Faculty Position on Affirmative Action/Equal Opportunity at The George Washington University (substitute)*

Response: N/A

Resolution 90/8: *A Resolution to Amend the University Policy on Equal Opportunity to Add the Words "Sexual Orientation" with accompanying report*

Response: After consultation with the Academic Affairs Committee of the Board and with University Counsel, an improved statement of University Policy on Equal Opportunity was forwarded to the Board of Trustees. The Board approved the new statement at its meeting on May 16, 1991.

Resolution 90/9: *A Resolution to Endorse Guidelines for Searches for Deans of The George Washington University with accompanying Guidelines*

Response: The administration is trying to follow these guidelines in current searches for Deans of SEAS and SEHD. This experience will provide a basis for determining whether these modifications are sufficient to meet the aims of the Board of Trustees and the administration in asking for reforms of our conventional practices. It is too early to form a judgment as to the adequacy of the new guidelines, but the Resolution as passed has been implemented.

Resolution 90/10: *A Resolution Changing the Name of the Faculty Senate Committee on Athletics to the Committee on Athletics and Recreation*

Response: Noted.

Resolution 90/11: *A Resolution to Amend and Clarify the University Policy on Misconduct in Science and Related Matters*

Response: Accepted and in force.

Resolution 90/12: *A Resolution to Amend the Faculty Code to clarify its Relationship to the University Policy on Misconduct in Research*

Response: Approved by the Board of Trustees 3/21/91.

Resolution 90/13: *A Resolution on Principles Governing the Utilization of Regular, Active-Status, Non-Tenure-Accruing Faculty Positions*

Response: Received with the following commentary for the record. We have studied the Vaill Report carefully and discussed it with the administrative members of the Vaill Committee. On the one hand, it contains an emphatic, even eloquent affirmation of the actual and potential values of the traditional tenure system. On the other, it recognizes the University's indispensable requirement for

flexibility in the terms of appointment utilized in faculty staffing in the contemporary environment. Moreover, there is a very helpful description of the heterogeneous circumstances of our different schools and colleges which require correspondingly different forms of flexibility in faculty appointment terms in order for those units to respond to changing circumstances while remaining fiscally viable entities. Finally, it is our sense that part of the motivation of the Report was to guard against a particular type of hiring practice that was no longer operative in the University. We understand the Resolution as not requiring any modification in the present practices of any unit of the University with respect to the terms or types of faculty appointments being made.

Resolution 90/14: *A Resolution on Parking*

Response: No appropriate administrative action required at this time.

Resolution 90/15: *A Resolution to Provide Retirement Opportunities and Incentives for Senior Members of the Faculty*

Response: It was clarified in debate that the Senate intended the resource implications of any such plans to be borne by the individual schools. At the same time, it is obvious that the administration would have to ensure fundamental equity across the University with respect to all substantive terms of agreement negotiated with individual faculty who might elect retirement under plans to be devised by the proposed committees. Furthermore, we would not want individual school plans to restrict our ability to redistribute resources among the individual units. This Resolution was discussed thoroughly in a meeting of the Council of Deans in May. The response of the Deans was that they would be willing to move to appoint such committees but only on the understanding that the charge to the group would include the development of guidelines for a regular policy of post-tenure reviews of tenured members of the faculty. In light of that added provision, the date of January 1, 1992, by which time the Deans were to forward all of their plans to the Vice President for Academic Affairs, is clearly unrealistic.

Resolution 90/16: *A Resolution to Establish Faculty Task Forces on Affirmative Action/Equal Opportunity*

Response: Under review while awaiting report of President's Advisory Committee for the Recruitment and Retention of Minority and Women Faculty charged with examining the same subject. That report is not expected before the end of the summer. Questions

have been raised as to whether implementation of Resolution 90/16 would lead to overlapping jurisdiction issues within the schools and colleges and with present standing committees of the Faculty Senate.

Resolution 90/17: *A Resolution Recommending the Establishment of a University Publications Office*

Response: No action required.

A RESOLUTION OF APPRECIATION (90/1)

WHEREAS, Raymond R. Fox has earned and held the respect, gratitude and affection of The George Washington University community; and

WHEREAS, His term of service on the Faculty Senate ends through retirement from the University; NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

That the following citation be issued:

In recognition of his contributions to The George Washington University during thirty-one years of service to his students and colleagues as Professor of Civil Engineering in the School of Engineering and Applied Science;

In recognition of his conscientious and unselfish efforts on behalf of academic excellence as Chairman of his Department and as a member of numerous University committees;

In recognition of his integrity, perseverance and good humor in pursuing practicality and common sense in resolving problems confronting this academic community;

Especially in recognition of his dedicated service for nineteen years on the Faculty Senate, nine years on the Executive Committee of the Faculty Senate, and fourteen years as Chairman of the Senate's Student Financial Aid Committee;

THE FACULTY SENATE

OF

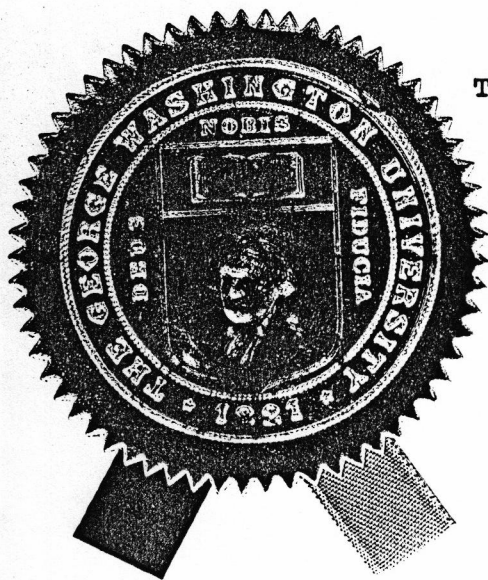
THE GEORGE WASHINGTON UNIVERSITY

CITES

PROFESSOR RAYMOND R. FOX

FOR


DISTINGUISHED SERVICE



May 4, 1990

Adopted by acclamation 5/4/90


Stephen Joel Trachtenberg
President


William B. Griffith
Chair, Executive Committee

A RESOLUTION TO AMEND THE UNIVERSITY ACADEMIC CALENDAR (90/2)

WHEREAS, in the current academic calendar there is no interruption of classes between Labor Day and Thanksgiving, a period of eleven weeks; and

WHEREAS, the designation of the Wednesday before Thanksgiving as a holiday is likely to result in substantial absenteeism on the Monday and the Tuesday of that same week; and

WHEREAS, the designation of the Columbus Day Monday holiday as a University holiday would give students and faculty a welcome respite at an appropriate point in the Fall Semester; NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

- (1) That the University academic calendar be changed so that the Thanksgiving holiday begin on the designated Thursday and the Columbus Day Monday holiday be designated as a University holiday; and
- (2) That this change be instituted for the 1991-92 academic year.

Committee on Educational and Admissions Policy
April 25, 1990

Adopted, May 4, 1990

A RESOLUTION FOR A PILOT STUDENT ORIENTATION COURSE (90/3)

WHEREAS, Many George Washington University students desire continued improvement of advising procedures and personnel; and

WHEREAS, The Joint Committee of Faculty and Students has studied this matter extensively this year through a subcommittee set up to review all aspects of advising, including its role in retention of students; and

WHEREAS, A student orientation course has been found to be an effective way of improving student performance and retention at the University of South Carolina, among many other institutions; and

WHEREAS, Efforts to establish such a course with individual schools or colleges have failed in the past at George Washington University for a variety of reasons not necessarily tied to the merit of the proposal;

NOW, THEREFORE BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

THAT the Administration take the initiative, working with interested Student Association representatives and faculty, to design, fund, and implement a 700-Series pilot or experimental course designed to better introduce new undergraduate students into the GW and Washington environment and to better acquaint them with academic and career options and possibilities while they remain students here;

THAT this pilot course be introduced as soon as is practical (possibly Fall, 1991) in whichever school or college seems most receptive to testing such a program, with the aim that if the course proves its worth, it would be established on a University-wide basis for new students as quickly as resources can be made available;

THAT during the pilot program, the school or college sponsoring the course be encouraged, with the cooperation of the Dean of Students' office to draw upon the resources of that office in these areas:

- (i) Career and Cooperative Education,
- (ii) Counselling Center, and
- (iii) International Student Organization.

THAT the Dean of Students' office be encouraged to test the results of the pilot course by measuring student evaluations and attitudes against the evaluations and attitudes recorded in non-retention studies.

Joint Committee of Faculty and Students
May 4, 1990

Referred May 4, 1990, to the Executive Committee of the Faculty Senate
Referred by the Executive Committee to the Educational and Admissions
Policy Committee 5/22/90

A RESOLUTION TO IMPROVE STUDENT ADVISING (90/4)

WHEREAS, Advising continues to be a source of complaints by many students and a factor in the relatively low retention rate of students at George Washington University; and

WHEREAS, Faculty Senate Resolution 88/1 called for many general steps to be taken to improve advising; and

WHEREAS, The Joint Committee on Faculty and Students established its Subcommittee on Advising in Fall, 1989 to study the problem and recommend more specific means for further implementing Faculty Senate Resolution 88/1;

NOW THEREFORE BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

THAT the University Faculty and the Administration should demonstrate a renewed commitment to providing high quality student advising by providing support for and encouraging the Deans of each school or college to:

- (1) Establish a standard manual for each school which discusses advising procedures and faculty obligations and which helps define appropriate student expectations and responsibilities about their advising; and
- (2) Establish standards of record-keeping which should include:
 - (i) better centralized record-keeping in the Deans' offices of necessary materials on students with no declared major;
 - (ii) dispersal and regular updating to the appropriate department and departmental adviser of the records on students who have declared a major or double-major and have chosen an adviser;
 - (iii) completion of efforts to establish centralized computer information to facilitate more accurate academic advising, including direct access to degree/audit sheets and other records; and
- (3) Provide resources to support better professional advising of undeclared majors as to academic and career options; and
- (4) Provide resources to support better professional advising of international students about academic and career options and requirements within the schools or

- colleges and with updates on any changes; and
- (5) provide faculty advisors of undeclared majors with better compensation and with more frequent workshop or seminar training on current academic and career options and requirements within the schools or colleges and with updates on changes; and
 - (6) Continue acting to improve recognition of faculty efforts in advising by such means as reduced course loads and treating advising on par with University and community service in matters of tenure and promotion consideration.

Joint Committee of Faculty and Students
May 4, 1990

Referred May 4, 1990, to the Executive Committee of the Faculty Senate
Referred by the Executive Committee to Educational and Admissions
Policy Committee 5/2//90

A RESOLUTION TO AMEND THE FACULTY ORGANIZATION PLAN TO CHANGE THE FREQUENCY OF STATED MEETINGS OF THE FACULTY ASSEMBLY (90/5)

WHEREAS, the Faculty Organization Plan, Art. II, Sec. 3 (a) currently requires that the Faculty Assembly meet at least once each semester of the academic year; and

WHEREAS, there may be at times insufficient business to require a meeting every semester and one stated meeting each academic year may suffice, in view of the readily available provisions for calling special meetings as needed; NOW THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY:

That the Faculty Assembly be requested to amend the Faculty Organization Plan (1987) as follows:

In Art. II, Sec. 3 (a), first sentence, strike "each semester of," so as to read:

"(a) A regular meeting of the Assembly shall be held at least once during the academic year."

Executive Committee of the Faculty Senate
August 31, 1990

Adopted, September 14, 1990

Adopted by the Faculty Assembly 1/22/91

A RESOLUTION TO ESTABLISH A SPECIAL COMMITTEE TO STUDY THE
STRUCTURE AND FUNCTIONING OF THE FACULTY SENATE (90/6)

WHEREAS, the Executive Committee, in a recent review of the structure and functioning of the Faculty Senate, has identified tentatively a number of issues which appear to warrant further exploration by a Special Committee; NOW THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

- (1) That a Special Committee of the Faculty Senate be and hereby is established, to consist of five members to be nominated by the Executive Committee for election by the Senate; and
- (2) That this Special Committee be charged as follows:
 - (a) to review the existing formal and informal relationships between the Faculty Senate and administrative officers of the University, including the academic deans, both with respect to participation in meetings of the Faculty Senate and with respect to serving on standing and special committees of the Senate; and
 - (b) to study the ways in which the Faculty Senate communicates with the faculty and administration, both in gathering information about issues of concern and in informing the faculty and others as to actions taken and issues under study; and
 - (c) to review the existing role of the faculty in the budgeting and planning process, both at the University and school levels; and
 - (d) to inquire into the relationship between the Faculty Senate and the Board of Trustees; and
 - (e) to report its findings to the Faculty Senate by March, 1991, together with any recommendations for changes which might strengthen the efficiency and effectiveness with which the Senate carries out its assigned functions under the Faculty Organization Plan.

Executive Committee of the Faculty Senate
September 28, 1990

Adopted October 12, 1990

Resolution 90/6, "A Resolution to Establish a Special Committee to Study the Structure and Functioning of the Faculty Senate"

FACULTY SENATE MEETING, OCTOBER 12, 1990

Nominees for Special Committee

- (1) Mary M. Cheh
Professor of Law (Convenor)
- (2) Victor H. Cohn, Jr.
Professor of Pharmacology
- (3) Rodney W. Eldridge
Professor of International Finance
- (4) Jarol B. Manheim
Professor of Political Communication and of Political Science
- (5) Walter K. Kahn
Professor of Engineering and Applied Science

The above five nominees were approved by the Faculty Senate on October 12, 1990, as the Special Committee established by Resolution 90/6.

SUBSTITUTE

A RESOLUTION TO ESTABLISH A SPECIAL COMMITTEE TO FORMULATE A FACULTY POSITION ON AFFIRMATIVE ACTION/EQUAL OPPORTUNITY AT THE GEORGE WASHINGTON UNIVERSITY (90/7)

WHEREAS, The George Washington University is an affirmative action/equal opportunity employer; and

WHEREAS, the University administration has released recently figures revealing the number of women and minorities at the University; and

WHEREAS, the faculty is responsible for recruiting, selecting, retaining, and promoting its members; NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY:

- (1) That a Special Committee of the Faculty Senate be and hereby is established, to consist of eight members to be nominated by the Executive Committee for election by the Senate; and
- (2) That this Special Committee be charged as follows:
 - (a) In cooperation with the University's Advisory Committee on the Recruitment and Retention of Minority and Women Faculty, to review existing practices and procedures at this University and comparatively at market-basket schools for recruiting, selecting, retaining and promoting women and minorities within a multicultural faculty; and
 - (b) To enunciate a creative faculty position on affirmative action/equal opportunity at this uniquely international University; and
 - (c) To recommend steps which the faculty and administration should take to improve implementation of affirmative action programs at the University; and
 - (d) To submit its report and recommendations to the Faculty Senate by April, 1991.

Executive Committee of the Faculty Senate
November 9, 1990

Adopted, as amended, November 9, 1990

See Substitute Res. 90/7

A RESOLUTION TO ESTABLISH A SPECIAL COMMITTEE TO FORMULATE A FACULTY POSITION ON AFFIRMATIVE ACTION/EQUAL OPPORTUNITY AT THE GEORGE WASHINGTON UNIVERSITY (90/7)

WHEREAS, The George Washington University is an affirmative action/equal opportunity employer; and

WHEREAS, the University administration has released recently figures revealing the number of women and minorities at the University; and

WHEREAS, the faculty is responsible for recruiting, selecting, retaining, and promoting its members; NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY:

- (1) That a Special Committee of the Faculty be and hereby is established, to consist of ten members to be nominated by the Executive Committee for election by the Senate; and
- (2) That this Special Committee be charged as follows:
 - (a) To review existing practices and procedures at this University and comparatively at market-basket schools for recruiting, selecting, retaining and promoting women and minorities within a multicultural faculty; and
 - (b) To enunciate a creative faculty position on affirmative action/equal opportunity at the University; and
 - (c) To recommend steps which the faculty and administration should take to improve implementation of affirmative action programs at the University; and
 - (d) To submit its report and recommendations to the Faculty Senate by April, 1991.

Executive Committee of the Faculty Senate
October 26, 1990

A RESOLUTION TO AMEND THE UNIVERSITY POLICY ON EQUAL
OPPORTUNITY TO ADD THE WORDS "SEXUAL ORIENTATION" (90/8)

WHEREAS, The George Washington University Policy on Equal Opportunity fails to include the words "sexual orientation"; and

WHEREAS, the present University Policy on Equal Opportunity prohibits discrimination on the basis of race, color, religion, sex, national origin, handicap, or veteran status; and

WHEREAS, a University Policy on Equal Opportunity which included the words "sexual orientation" would provide express protection against discrimination to gay men and lesbians; NOW
THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY:

(underlining indicates amendments)

(1) That the Faculty Senate recommends to the President and to The George Washington University Board of Trustees that the University Policy on Equal Opportunity be amended to add the words "sexual orientation" to its non-discrimination provisions, except where such distinctions are permitted by law or proved to be a bona fide qualification; and

(2) That the Faculty Senate recommends to the President and The George Washington University Board of Trustees that the University policy on sexual orientation should not be interpreted, applied, or administered in a manner which would interfere with any existing or future relationship between the University and any federal entity.

Joint Committee of Faculty and Students
November 2, 1990

Adopted December 14, 1990, as amended

THE GEORGE WASHINGTON UNIVERSITY

TO: The Faculty Senate

FROM: Professor Philip Robbins, Faculty Co-Chair
Joint Committee of Faculty and Students

RE: Report on the Resolution to Amend the University Policy
on Equal Opportunity

The Joint Committee is reporting for Senate consideration a resolution favoring amendment of the University Policy on Equal Opportunity by adding the words "sexual orientation" passed unanimously by the Joint Committee at its meeting November 2, 1990. Presented here is a brief history behind that action:

The Joint Committee received the referral from the Executive Committee in time to initiate discussion at the Committee's regular meeting October 5, 1990. At that time, there was considerable sentiment expressed by some student and some faculty members to take up the proposal and act upon it forthwith. However, reminded that there were likely legal and other considerations the Committee should know about before acting, it agreed to schedule the item for the November 2nd agenda and to invite representatives both from the group sponsoring the resolution and from the University administration to appear and participate in our discussion.

At the November 2nd meeting, Professor Mary Cheh (National Law Center), three law students who had signed the request for the resolution, and a very large delegation of other students who are interested in the matter appeared. They enumerated many reasons why lesbian and gay students felt it would help their acceptance on campus to have the University officially on record as favoring non-discriminatory treatment for them. They felt that just having the reference in the Policy that the University subscribes to the D.C. Human Rights Law is not enough, especially now that it is unclear how much that law might apply to the new Northern Virginia campus.

Susan Kaplan, Special Assistant to President Trachtenberg and ex officio member of the Joint Committee, made a statement on the matter after emphasizing she was not speaking for the President or officially on behalf of the University Administration. She said that the status of the Navy R.O.T.C. unit on campus was a concern of the Administration, and she felt that if the Joint Committee were to pass the resolution, it would be better to amend the proposal so it would not direct how and where the new language would be added.

During further discussion, it was brought out that many of the 55 universities and colleges which the sponsoring group discovered did have specific prohibitions against discrimination because of sexual orientation did also have R.O.T.C. units. Speakers favoring the resolution said they did not believe the R.O.T.C. matter was a problem since these other schools did not seem to consider it so.

The proposed resolution was amended by the Joint Committee into the form you have received. The amended version was then passed unanimously.

Joint Committee of Faculty and Students
November 2, 1990

A RESOLUTION TO ENDORSE GUIDELINES FOR SEARCHES FOR DEANS
OF THE GEORGE WASHINGTON UNIVERSITY (90/9)

WHEREAS, The Faculty Senate Committee on Administrative Matters as They Affect the Faculty has reviewed the process for searches for Deans and has developed general guidelines; NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY:

That the attached Guidelines are endorsed for use by Dean Search Committees.

Committee on Administrative Matters as They Affect the Faculty
November 11, 1990

Adopted December 14, 1990

SEARCHES FOR DEANS OF THE GEORGE WASHINGTON UNIVERSITY

Preamble

In an effort to improve the search process for Deans and to promote cooperation and coordination within the University community in this matter, the Faculty Senate Committee on Administrative Matters as They Affect the Faculty recommends the adoption of the following guidelines. These guidelines serve to expand on the procedures stipulated in the Faculty Code.

Background

Based on discussions with various parties involved in recent dean searches, several issues have surfaced which support the adoption of Guidelines for Dean searches. The following list highlights the key points:

Deans play a critical role in relation to university administration, faculty, students, and alumni. Therefore the dean search process should encompass participation of these four groups.

Dean searches are not conducted frequently in any given school or college. As a result these units are unable to develop procedures to facilitate efficient operation of the process.

It is important for faculty search committees to understand what is expected of Deans in our University.

Expeditious processing and review of applications is critical to assure that potentially qualified candidates are not lost from the applicant pool because of earlier job offers from other institutions.

Use of an executive search firm can be useful in developing a large pool of qualified applicants.

Given the large number of persons involved in the dean search process, confidentiality of information about candidates for these positions is critical.

Recommendation

The Committee on Administrative Matters as They Affect the Faculty hereby recommends the adoption of the following Guidelines:

GUIDELINES FOR SEARCHES FOR DEANS
OF THE GEORGE WASHINGTON UNIVERSITY

All schools and colleges are requested to develop a mechanism for the selection of a committee of students which will play a formal supporting role to the elected faculty search committee. This student committee would have the opportunity to participate in interviews of candidates, reporting their recommendations to the faculty search committee. The identity and mandate of the student committee would be made known to all students in the unit.

All schools and colleges are requested to develop a mechanism for the selection of a committee of alumni which will play a formal supporting role to the elected faculty search committee. This alumni committee would have the opportunity to participate in interviews of candidates, reporting their recommendations to the faculty search committee. The identity and mandate of this alumni committee would be made known to the alumni in the unit.

At the time that faculty search committees are elected by any school or college following the bylaws of that unit, the Vice President for Academic Affairs may name an academic administrator from outside that school or college to participate as an advisor to the committee with regard to the definition of selection criteria, screening of resumes, interviewing of candidates, and other functions of the committee.

Support services for Dean searches will be provided by the office of the Assistant to the Board of Trustees. This office will provide staff assistance for scheduling campus visits for interviews and other administrative services required by the search process. This office will also facilitate the utilization of an executive search firm, should the faculty committee choose to contract for such services.

The Chair of the Dean Search Committee should report at least monthly to the respective faculty and to the Vice President for Academic Affairs on the status of the search.

Each faculty search committee should develop procedures to assure confidentiality of information about candidates for dean positions.

Approved by the Senate Committee on Administrative Matters as
They Affect the Faculty, November 11, 1990

A RESOLUTION CHANGING THE NAME OF THE FACULTY SENATE
COMMITTEE ON ATHLETICS TO THE COMMITTEE ON ATHLETICS
AND RECREATION (90/10)

WHEREAS, the educational experience and community environment
of the University involves recreational as well as intercollegiate
athletics; NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON
UNIVERSITY:

That the name of the Faculty Senate Committee on Athletics be
changed to the Committee on Athletics and Recreation.

Committee on Athletics
November 26, 1990

Adopted, January 18, 1991

[Any inquiries about this resolution should be directed to
Professor Trangsrud, Chair, PEAFC Committee, Ext. 4-8173]

A RESOLUTION TO AMEND AND CLARIFY THE UNIVERSITY POLICY ON
MISCONDUCT IN SCIENCE AND RELATED MATTERS (90/11)

WHEREAS, The Faculty Senate Committee on Academic Freedom
and Professional Ethics has reviewed the new University Policy on
Misconduct in Science dated January 1, 1990; and

WHEREAS, the Committee believes that certain amendments to
the University Policy on Misconduct in Science would be
appropriate to clarify what activities are subject to this Policy
and what procedures are required by the Policy; NOW THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON
UNIVERSITY:

(1) That the Faculty Senate recommends to the President of
the University that the University Policy on Misconduct in
Science be amended as follows:

(a) That the title of the Policy be changed to "The
University Policy on Misconduct in Research;"

(b) That Paragraph 1 of the Policy be deleted and the
following Paragraph be substituted in its place:

"1. The term "misconduct" or "misconduct in
research" means fabrication, falsification,
plagiarism, or other practices that seriously
deviate from those that are commonly accepted
within the relevant academic or scientific
community for proposing, conducting, or reporting
research. It does not include honest error or
honest differences in interpretations of judgments
of data."

(c) That Paragraph 5 of the Policy be amended by
replacing the word "investigation" at the end of the
second sentence with the word "inquiry" and by
replacing the phrase "or, if misconduct has already
been confirmed," in the third sentence with the word
"and".

Professional Ethics and Academic Freedom Committee
January 21, 1991

Adopted, February 8, 1991

NOTE: This Policy reflects amendments adopted by the Faculty Senate, February 8, 1991, by Resolution 90/11.

THE GEORGE WASHINGTON UNIVERSITY

INTERDEPARTMENTAL MEMORANDUM



January 1, 1990

TO: Vice Presidents, Deans, Department Chairs, and Faculty

FROM: President Stephen Joel Trachtenberg

SUBJECT: ~~Misconduct-in-Science-Policy~~
The University Policy on
Misconduct in Research

Stephen Trachtenberg

As a recipient of Federal funds, the University is required to file an annual assurance regarding procedures for dealing with and reporting possible misconduct in science. The following statements are reaffirmed by The George Washington University in fulfillment of these requirements. Faculty and staff are urged to bear in mind the importance of compliance with the relevant policies and procedures.

1. ~~The terms "misconduct" or "misconduct in science" means fabrication, falsification, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the scientific community for proposing, conducting, or reporting research. It does not include honest error or honest differences in interpretations or judgments of data.~~

The term "misconduct" or "misconduct in research" means fabrication, falsification, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the relevant academic or scientific community for proposing, conducting, or reporting research. It does not include honest error or honest differences in interpretations of judgments of data.

2. An allegation of misconduct in research will be referred to the Associate Vice President for Academic Affairs and Research, who will review the allegation and conduct an informal inquiry. An "inquiry" consists of information-gathering and preliminary fact-finding to determine whether an allegation or apparent instance of misconduct warrants an investigation. This inquiry shall include discussion with the complainant and the investigator accused of misconduct. The initial inquiry shall be held confidential, but the Associate Vice President for Academic Affairs and Research shall consult appropriate advisors and/or review committees concerning accepted standards of practice. The privacy of a person who in good faith reports apparent misconduct shall be protected. An inquiry into an allegation of misconduct in research shall be completed within 60 calendar days of its initiation unless circumstances clearly warrant a longer period. A written report shall be prepared that states what evidence was reviewed, summarizes relevant interviews, and includes the conclusions of the inquiry. The individual(s) against whom the allegation was made shall be given a copy of the report of inquiry. If they comment on that report, their comments may be made part of the record. To the maximum extent possible the affected individual(s) will be afforded confidential treatment, a prompt and thorough investigation, and an opportunity to comment on allegations and findings of the inquiry and/or the investigation.

3. When, on the basis of the initial inquiry, a determination is made that an investigation is warranted, and to the extent required by Federal law and regulation, the Associate Vice President for

Academic Affairs and Research shall notify the Director, Office of Scientific Integrity (OSI), a component of the Office of the Director of the National Institutes of Health, and such other parties as may be required by the funding agency. In addition, when PHS funding is involved, the Associate Vice President for Academic Affairs and Research is responsible for notifying OSI at any stage of the inquiry or investigation if any of the following conditions exist:

- (1) There is an immediate health hazard involved;
- (2) There is an immediate need to protect Federal funds or equipment;
- (3) There is an immediate need to protect the interests of the person(s) making the allegations or other individual(s) who is the subject of the allegations as well as his/her co-investigators, if any;
- (4) It is probable that the alleged incident is going to be reported publicly;
- (5) There is a reasonable indication of possible criminal violation. In that instance, the Associate Vice President for Academic Affairs and Research must inform OSI within 24 hours of obtaining that information, and OSI will immediately notify the Office of the Inspector General.

4. In the event the initial inquiry does not support an allegation of misconduct, the Associate Vice President for Academic Affairs and Research will counsel the complainant and the investigator concerned, and the issue will be closed. The finding(s) and the reason(s) not to request formal investigation shall be documented. Such records shall be maintained in a secure manner for a period of at least three years after the termination of the inquiry.

5. If the initial inquiry warrants a formal investigation, the Associate Vice President for Academic Affairs and Research will inform the Vice President for Academic Affairs of the complaint and request a formal investigation. The investigation will commence within 30 days of the completion of the ~~investigation~~ inquiry. "Investigation" is a formal examination and evaluation of relevant facts to determine whether misconduct has taken place and ~~or~~ if ~~misconduct has already been confirmed~~, to assess its extent and consequences or determine appropriate action. If Federal funding is involved, the Associate Vice President for Academic Affairs and Research shall notify OSI, and shall keep the OSI apprised of any developments during the course of the investigation as required.

6. The Vice President for Academic Affairs will immediately appoint an ad hoc committee including members with appropriate expertise to conduct the investigation or refer the matter to an existing committee with established procedures for responding to misconduct in science concerning the use of humans or animals and will ensure that requirements of the sponsor for notification and reporting are addressed. In appointing such a committee, the Vice

President for Academic Affairs will take appropriate precautions against real or apparent conflicts of interest on the part of those involved in the inquiry or investigation.

7. The committee will act expeditiously to investigate the alleged misconduct, with appropriate consideration given to providing adequate opportunity for the investigator accused of misconduct to develop a full response to the allegation. The committee may solicit the advice of appropriate intramural and external consultants. During the course of the investigations, the researcher accused of misconduct may be advised, but not represented by legal counsel.

8. At the conclusion of the investigation, the committee will prepare a report for submission to the Vice President for Academic Affairs. The report should ordinarily be issued within 120 days of the initiation of the investigation. This includes conducting the investigation, preparing the report of findings, making that report available for comment by the subjects of the investigation, and submitting the report to the OSI, if required. The report will address the circumstances of the complaint, the findings of the investigation and make recommendations for actions to redress the consequence of the misconduct, if demonstrated, in accordance with provisions of the Faculty Code or the Manual of Personnel policies for the Use of Supervisory Staff. A copy of the report will be provided to the investigator accused of misconduct and to OSI if Federal funding is involved. If they can be identified, the person(s) who raised the allegation will be provided with those portions of the report that address their role and opinions in the investigation. The documentation prepared to substantiate the investigation's findings will be maintained in a secure location for a period of at least three years after the terminations of the investigation, or longer if required by law or regulation.

9. Further, the University will impose appropriate sanctions on individuals when the allegation of misconduct has been substantiated.

10. Appropriate interim actions will be taken to protect Federal funds and insure that the purposes of the Federal financial assistance are carried out.

11. Where the investigator accused of misconduct is a registered student, and the alleged misconduct is associated with work contributing to the formal academic program of the student, the issue will also be addressed in accordance with University policies relating to academic dishonesty and student conduct.

12. The University will undertake diligent efforts, as appropriate to restore the reputations of persons alleged to have engaged in misconduct when allegations are not confirmed, and also undertake diligent efforts to protect the positions and reputations of those persons who, in good faith, make allegations.

TO: THE FACULTY SENATE

FROM: PROFESSOR TRANGSRUD, CHAIR
FACULTY SENATE COMMITTEE ON PROFESSIONAL ETHICS AND
ACADEMIC FREEDOM

DATE: JANUARY 21, 1991

RE: REPORT ON UNIVERSITY POLICY ON MISCONDUCT IN SCIENCE

The following Report is offered in support of Resolution 90/11, A Resolution to Amend and Clarify the University Policy on Misconduct in Science and Related Matters, and Resolution 90/12, A Resolution to Amend the Faculty Code to Clarify its Relationship to the University Policy on Misconduct in Research. These two resolutions were unanimously recommended by the Committee on Professional Ethics and Academic Freedom for consideration by the Faculty Senate.

Before voting to recommend the two resolutions the Committee discussed the apparent scope of the new University Policy on Misconduct in Science, the specific procedures contained in the new Policy, the relationship of this Policy to the existing Faculty Code, and what action by the committee and the Faculty Senate would be appropriate in the circumstances.

No formal votes were taken by the committee on the items enumerated below, but it appeared that a consensus existed on several points summarized below.

1. Federal law requires all academic institutions who receive federal funds for certain kinds of scientific research to establish a formal policy and procedure for identifying and reporting misconduct in federally funded research. If the University and the faculty doing such research wish to continue to receive federal funding [and they do], then faculty doing such research must be subject to a policy relating to misconduct in research similar to the Policy actually issued by President Trachtenberg on January 1, 1990.

SCOPE OF THE POLICY ON MISCONDUCT IN RESEARCH

2. Federal law does not require that a university's policy on misconduct in research extend to non-federally funded research. However, it would be anomalous, confusing, inequitable, and unwise for the same type of misconduct in research to be treated differently depending upon whether the research was federally funded or not. Therefore, any GW University policy on misconduct in research should apply to all faculty alike regardless of whether the research is federally funded or not.

3. The new GW Policy is ambiguous as to what type of research it applies to. The introductory paragraph of the new Policy describes it as a "Misconduct in Science Policy" whose procedures relate to misconduct in science arising out of federally funded research. Paragraph 1 of the Policy

defines "misconduct" or "misconduct in science" to be certain activities which deviate from accepted standards of research "within the scientific community." All this would imply that the Policy applies only to scientific research and not to research done, for example, by English Professors or Law Professors. On the other hand, other portions of the Policy, especially Paragraph 2, state that "misconduct in research" is covered by the Policy which suggests that non-scientific research is subject to the Policy. Paragraph 5 also calls for certain action to be taken "If federal funding is involved" implying the Policy may also apply when no such funding is involved.

4. The ambiguities described above should be clarified so it is clear what type of research is subject to the Policy. Specifically, all types of academic research should be covered by the Policy whether scientific in character or not and whether federally funded or not. See Resolution (90/11) Part 1 (a) and (b).

PROCEDURES FOR INVESTIGATING MISCONDUCT

5. The specific procedures for investigating misconduct contained in the GW Policy are largely, but not entirely, drawn from and required by the federal regulations under which grants are now made to academic institutions. To continue to qualify for federal research grants, all investigation procedures required by federal law must remain part of the GW Policy.

6. The GW Faculty Code and Faculty Handbook establish no explicit procedures for investigating or remedying faculty misconduct in research. The Faculty Handbook states only that the University Committee on Sponsored Research is responsible for assuring that all sponsored research and all other research "which is volunteered to it" shall conform to the standard of ethics set forth in the sponsored research policy of the University. To our knowledge the University Committee on Sponsored Research does not have published procedures for investigating alleged misconduct in research.

7. The new GW Policy on Misconduct in Science is a welcome development to the extent it formalizes and makes explicit the procedures which the University Administration will be obliged to follow when investigating alleged misconduct in research. In the main the Committee accepted as appropriate the procedures contained in this Policy. The Committee did object, however, to the language in Paragraph 5 (i.e. "if misconduct has already been confirmed") which suggests that a finding of misconduct could be made by someone without a formal investigation as described in Paragraphs 6-8. Accordingly, the Committee recommends that this language be deleted from Paragraph 5. See Resolution (90/11) Part 1 (c).

SANCTIONS FOR MISCONDUCT IN RESEARCH

8. The new GW Policy provides that the findings of the ad

hoc committee investigating alleged misconduct, any report prepared by this ad hoc committee, and any recommendations for actions to redress the consequences of misconduct will be made in accordance with the Faculty Code. ¶8. The Policy further states that "the University will impose appropriate sanctions on individuals when the allegation of misconduct has been substantiated." ¶9. The Faculty Code and Faculty Handbook at present, however, make no explicit reference to permissible sanctions against faculty other than termination of service. Faculty Code, V.

9. Our committee discussed whether it would be possible to develop a schedule of appropriate sanctions for different types of misconduct in research and concluded that it would not be feasible or wise to try and do so. The appropriateness of a finding of misconduct or of a particular sanction can fairly be assessed only with a full knowledge of all of the circumstances attending a specific allegation of misconduct. Accordingly, our committee concluded that a faculty member should be able to file a grievance if, for example: (1) the finding of misconduct or the sanction imposed for the misconduct was arbitrary or capricious; (2) the investigation or sanction was an act of discrimination prohibited by law; (3) the investigation or sanction was in retaliation for Code protected rights; or (4) the University failed to follow its published procedures in investigating the alleged misconduct or in imposing a sanction.

10. Our committee discussed whether such matters would be grievable under the Faculty Code as it reads today and determined that it was uncertain whether such matters would be grievable. See Faculty Code, X, B. Accordingly, our Committee recommends that an amendment to the Faculty Code be made to remove this uncertainty and to make clear that such improper action would be grievable under the Faculty Code. See Resolution (90/12).

[Any inquiries about this resolution should be directed to
Professor Trangsrud, Chair, PEAFC Committee, Ext. 4-8173]

A RESOLUTION TO AMEND THE FACULTY CODE TO CLARIFY ITS
RELATIONSHIP TO THE UNIVERSITY POLICY ON MISCONDUCT
IN RESEARCH (90/12)

WHEREAS, the Faculty Senate Committee on Academic Freedom and Professional Ethics has reviewed the existing University Policy on Misconduct in Science dated January 1, 1990 ["the Policy"], and proposed certain amendments to the Policy as described in a previous resolution; and

WHEREAS, the Committee has reviewed the relationship between the Policy and the existing Faculty Code and believes that an amendment to the Faculty Code is appropriate to make clear that improper University actions related to the University Policy on Misconduct in Science are grievable under the Faculty Code; NOW THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY:

That the Faculty Senate recommends to the President and to The George Washington University Board of Trustees that the phrase "research or other scholarly activities," be added after the phrase "academic freedom," in Section X - B of the Faculty Code.

Professional Ethics and Academic Freedom Committee
January 21, 1991

Adopted, February 8, 1991

[Any inquiries about this resolution should be directed to
Professor Vaill, Chair, Special Committee, Ext. 4-6298]

A RESOLUTION ON PRINCIPLES GOVERNING THE UTILIZATION OF
REGULAR, ACTIVE-STATUS, NON-TENURE-ACCRUING-FACULTY POSITIONS (90/13)

WHEREAS, a Committee on the Use of Regular, Active Status, Non-Tenure-Accruing Faculty Appointments was established by Faculty Senate Resolution 89-5, composed of four members appointed by the Senate Executive Committee, four members appointed by the Vice President for Academic Affairs with a ninth member mutually appointed as Chair; and

WHEREAS, this Committee was charged with reviewing patterns of utilization of regular non-tenure-accruing appointments and making such recommendations as it saw fit for the improvement of the use of this employment category, with it understood that the Committee was not expected to investigate or make recommendations on any currently pending cases involving questions of the status of a non-tenure-accruing appointment; and

WHEREAS, the Committee met five times in 1990-91 and conducted wide ranging discussions of the various issues connected with non-tenure-accruing appointments, including consideration of written commentary from the Deans or their representatives, examination of frequencies of use of this employment category, and written and oral comments from faculty holding these appointments; and

WHEREAS, the Committee developed over the course of these deliberations a clear consensus regarding the principles that ought to govern utilization of regular, non-tenure-accruing faculty appointments while protecting the interests of the University, the Faculty, and individual appointees to such positions, and was able to express these principles in a series of propositions to guide future use of this faculty employment category; NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY:

That the Faculty Senate adopt the Committee's principles regarding future utilization of regular, active-status, non-tenure-accruing faculty appointments, the principles being as follows:

1. As a general principle, all regular active-status appointments in which the incumbent is held fully accountable for all of the professional responsibilities listed in Article III of the Faculty Code should be tenured or tenure-accruing appointments.

2. Non-tenure-accruing appointments should not be employed as equivalent substitutes for appointments in the "limited service," "visiting," or "research staff" categories. Informal, expedient, stop-gap use of non-tenure-accruing appointments should be avoided.
3. The needs and modes of use of the regular non-tenure-accruing appointment category vary among the Schools and Colleges and will continue to do so. The needs and modes of use spelled out by any given unit in response to Principle (5) below should be respected. University-wide rules detailing exactly when and how this employment category may be used should be avoided.
4. Utilization of a regular non-tenure-accruing appointment is appropriate where the duties of a full-time faculty position are (1) substantially narrower in scope than described by Article III of the Faculty Code, and/or (2) are significantly different from the duties in Article III, and/or (3) are not such that the University can make a permanent, "hard money" commitment to the position. If reason (3) is the primary reason for originally designating a position non-tenure-accruing, then the position should be seriously considered for conversion to tenure-accruing after seven years, unless by Principle (3) above a School or College has a unique situation requiring continuance of the non-tenure-accruing designation.
5. Utilization of regular, non-tenure-accruing appointments should be for a defined, public purpose within the teaching, research, and service mission of a Department, College, or School. Reasons for such use should be made explicit by the dean and the faculty of the unit, including criteria and processes for appointment, reappointment, and promotion. Salary policies and other perquisites should be made as explicit for the non-tenure-accruing positions as they are for the tenure-accruing positions. A conversion of a non-tenure-accruing to a tenure-accruing position shall be deemed the creation of a new position for which normal search procedures will be conducted. A holder of a non-tenure-accruing appointment should have the right to apply for the new position should it be converted to tenure-accruing status.
6. Emergency use of a non-tenure-accruing appointment in a way inconsistent with (4) and (5) above should not continue for more than one academic year beyond the academic year in which it occurs.
7. The University has legitimate needs for flexibility in its faculty resources, and these needs for flexibility will probably increase. This legitimate need for flexibility should not, however, result in an erosion of the tenure system or the principles of academic freedom that it serves.
8. The University's needs for flexibility may be served in a variety of ways other

than increasing the proportion of non-tenure-accruing to tenure-accruing appointments. These ways include (1) maintaining the highest academic standards for the awarding of tenure; (2) being sure that tenure is awarded only after the most careful and deliberate consideration; (3) increasing the attention paid to faculty development and renewal and the funding this requires; (4) making part-time appointments more materially attractive; and (5) enforcing more firmly the provisions of the Code that govern termination of faculty tenure for persistent failure to discharge one's faculty responsibilities.

9. Article X of the Faculty Code, "Rights, Privileges, and Resolution of Disputes under this Code," should be seen to apply equally to faculty members with non-tenure-accruing appointments as it does to faculty members with tenure and tenure-accruing appointments.
10. Appropriate Appointment, Promotion, and Tenure Committees at the Department and School levels should regard non-tenure-accruing full-time appointments as falling within their purview. They should play an active role in implementing these principles, especially with respect to maintaining a climate of fairness and collegiality within faculties composed of both tenure-accruing and non-tenure-accruing positions.
11. The Faculty Senate and the Vice President for Academic Affairs should periodically review trends and issues connected with non-tenure-accruing appointments, such as the evolution of new academic and quasi-academic faculty roles, experiments on other campuses with alternatives to the tenure system, and the impact of the abolition of the mandatory retirement age.

Special Committee on Utilization of Regular, Active-Status,
Non-Tenure-Accruing Appointments
January 23, 1991

Adopted, as amended, March 8, 1991

February 18, 1991

TO: Faculty Senate

FROM: Special Committee on the Use of Regular, Active Status,
Non Tenure Accruing Faculty Appointments,
Prof. Peter Vaill, Chair *P. Vaill*

SUBJ: Committee's Report to the Senate

Attached, phrased as a proposed Resolution, is the Special Committee's report to the Senate. In this present memorandum we are including some commentary on the various principles contained in the Resolution in order to make our reasoning a little clearer.

The idea of presenting our conclusions in the form of principles to guide utilization of the non-tenure-accruing (NTA) employment category emerged at the Committee's third meeting. It seemed to be an economical yet comprehensive way of presenting our thinking on the many facets of this question. The eleven principles are to be viewed as a system of interrelated ideas rather than as a cumulative argument. The order in which the principles are listed makes the most sense to the Committee (after considering some alternative orderings), but in the final analysis the order is rather arbitrary. At one time or another, any one of these principles could be of primary significance.

Here, then, are some more specific remarks on each principle:

Principle 1

This is the fundamental idea undergirding the Resolution - that tenured and tenure-accruing appointments are the primary employment category. The Code's list of responsibilities of full-time, active-status faculty is the most operational way of defining who ought to have a tenured or a tenure-accruing appointment. While the Committee found appropriate occasions for the use of NTA appointments as detailed in other principles in the Resolution, it also believed it important to reaffirm what faculty employment conditions warrant tenured and tenure-accruing appointments.

Principle 2

This principle addresses some of the possible uses of NTA appointments that the Committee believes are not in the interest of

the University or of faculty members holding them. The Committee did not find widespread departures from this principle, but it was raised both by faculty members and administrators as an area where questions arise. This principle is intended to settle at least some of the questions.

Principle 3

The Committee devoted a great deal of time to the various uses of NTA appointments by various Schools and Colleges. It found that systematic use of NTA appointments occurs in the Medical Center, the National Law Center, and in Columbian College in its English as a Foreign Language Program. In all these cases faculties and administrators are going about the use of this employment category with care and forethought. In all these units the Committee found ample justification for departing from Principle 1.

This principle tries to say clearly that various legitimate School and Department level needs for the NTA category will continue to arise and that any University-wide criteria should be framed with this variability and these local needs in mind.

Principle 4

The three criteria of Principle 4 are recommended after extensive discussion by the Committee. These three criteria define, in its judgment, the kinds of conditions that justify use of the NTA appointment category. A good example of criterion (1) is in the Medical Center where professors are employed full-time to participate in clinical delivery systems and precept students, but are not expected to perform scholarly research. Another example would be where a professor is employed only to teach and advise students from class, but is nevertheless full-time and required to possess full academic credentials.

Criterion (2) might apply to positions requiring full-time effort and full academic credentials which are yet substantially different than contemplated by the Code. Examples might be administration of a particular academic program, or full-time fundraising for particular academic activities.

The third criterion (3) grants that lack of "hard money" constitutes a legitimate use of the NTA category. However, the Committee felt such use should be qualified by some kind of "sunset" clause to protect the interests of incumbents, especially if in all other ways they are expected to meet all Code responsibilities of tenured and tenure-accruing appointments. The seven year suggestion is somewhat arbitrary - an attempt to balance individual and institutional needs and priorities.

Principle 5

The Committee sees this principle as very important and believes that much of the problem with NTA appointments can be avoided if these ideas are followed consistently. The Committee's perception is that the provisions of Principle 5, while not terribly controversial in and of themselves, are not yet conscious operating principles everywhere in the University. The Committee thinks that they should be.

The Committee realizes its position on salary policies is somewhat hollow, inasmuch as salary policy in general is not often explained in detail. But at least the NTA faculty should have whatever information everyone else has.

The idea that converting a position to tenure-accruing amounts to creating a new position follows from Principle 4 where in order to be an NTA position it should have been shown that the position was quite different. It is entirely possible that one who qualifies for the NTA position might not possess all the qualifications required when the position is redefined. On the other hand, no incumbent should be prevented from applying for the new position either.

Principle 6

This principle recognizes that unforeseen circumstances can occasionally force administrators to act contrary to one or more of these principles. It declares that exceptions to our NTA policies should be corrected expeditiously.

Principle 7

The need for flexibility is clearly seen in the Medical Center and in the National Law Center. The second sentence, however, does express the Committee's conviction and, it believes, the position held by the overwhelming majority of faculty.

Principle 8

The recommendations under this principle are straightforward except, possibly, for the fifth one regarding provisions in the Code for the termination of tenured appointments. The Committee's perception is that little use has been made of the provisions of the Code pertaining to such termination. The Committee believes that we need to study further the question of whether there should be greater continuing assessment of faculty competence, rather than assuming that tenured faculty are competent unless there is overwhelming evidence to the contrary. (One of the Senate

appointees to the Committee does not feel the Committee has discussed the matter enough yet to recommend what it does in the previous sentence.)

Principle 9

This principle is included because the Committee found at least two NTA faculty members who weren't sure but did not think they had the protection of Article X of the Code. The Committee believes that if there is doubt on this matter, it should be resolved; and further, that the protection of Article X should extend to faculty members in non-tenure-accruing appointments.

Principle 10

This principle is already in practice within the Medical Center; and the National Law Center has a Clinical Affairs Committee just for its NTA faculty. The Special Senate Committee believes that bringing NTA faculty within the peer review system throughout the University will contribute significantly to using this appointment category appropriately and avoiding some of the ambiguities of the past.

Principle 11

The Committee expects that faculty personnel policy nationwide will become increasingly dynamic as various economic, social, political, and technological changes impact higher education. It seems prudent to observe these trends closely while also continuing to operate our own NTA appointments as thoughtfully as possible.

Thank you for your consideration of these comments and of the accompanying Resolution.

The Committee:

Prof. Joseph L. Gastwirth

Prof. William R. Johnson

Prof. Douglas L. Jones

Prof. Marilyn Liebreinz-Himes

Dean Robert I. Keimowitz

Dean Robert W. Kenny

Associate Dean Teresa Schwartz

Associate Vice President Brunetta Wolfman

Prof. Peter B. Vaill, Chair

1989-90 FULL-TIME FACULTY AS OF 06/30/90
EXCLUDES AFFILIATED FACULTY

SCHOOL	TYPE OF APPOINTMENT												TOTAL FEMALE	TOTAL MALE	COMB. TOTAL
	TENURED		TEN-TRK NON-TEN		REG NON-TEN-TRACK		ADJUNCT MALE	RESEARCH		VISITING					
	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE		FEMALE	MALE	FEMALE	MALE				
COLUMBIAN COLLEGE	38	167	20	33	25	20	0	1	8	12	12	96	240	336	
EDUCATION	12	17	4	1	10	5	0	0	2	6	2	32	27	59	
ELLIOTT SCHOOL	1	17	0	0	0	2	0	0	0	0	0	1	22	23	
ENGIN & APPLIED SCI	1	53	3	14	1	8	3	0	7	0	8	5	93	98	
GOVT & BUS ADM	8	57	4	10	1	7	0	0	0	2	9	15	91	106	
GRAY SCH OF ART & SC	0	0	0	0	4	3	0	0	0	0	1	4	7	11	
MEDICINE	26	142	11	37	42	58	0	6	9	0	1	85	248	333	
NATIONAL LAW CENTER	6	33	2	4	6	4	0	0	0	1	4	15	45	60	
UNIVERSITY	0	4	0	0	0	0	0	0	0	0	0	0	4	4	
TOTAL	92	494	44	110	89	107	3	7	26	21	37	253	777		
TOTAL	586		154		196		3	33		58		1030			
PREV. YEAR	590		156		192		4	25		44		1011			

[Any inquiries about this resolution should be directed to
Professor Robinson, Chair, ASPP Committee, Ext. 4-7094]

A RESOLUTION ON PARKING (90/14)

WHEREAS, The George Washington University is a non-profit institution located in a high-cost metropolitan area, the providing of faculty/staff parking is viewed as a necessary condition of employment and parking fees should be maintained at nominal levels, and parking fees discourage faculty, especially those who use occasional parking, from coming in on non-teaching days; and

WHEREAS, a substantial portion of faculty and staff are dependent upon automobile transportation; and

WHEREAS, costs for providing parking and maintaining parking facilities have risen, the increases in parking rates for faculty/staff have exceeded annual salary percent increases; NOW THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

That parking fees be frozen at the October 1, 1990, level for a period of three years and that the Administration conduct a review during the third year, in consultation with the Committee on Appointment, Salary and Promotion Policies, including Fringe Benefits; in the event that the decision is made to increase fees at that time, such an increase should not exceed the percentage of faculty salary increases for that year.

Committee on Appointment, Salary and Promotion Policies,
including Fringe Benefits
March 20, 1991

Referred April 12, 1991, to the Fiscal Planning and Budgeting Committee

[Any inquiries about this resolution should be directed to Professor Robinson, Chair, ASPP Committee, Ext. 4-7094]

A RESOLUTION TO PROVIDE RETIREMENT OPPORTUNITIES AND INCENTIVES FOR SENIOR MEMBERS OF THE FACULTY (90/15)

WHEREAS, upon retirement faculty at The George Washington University normally lose office space and equipment and the ability to easily continue pursuit of professional interests and interaction with colleagues; and

WHEREAS, until recently members of the faculty reached the age of mandatory retirement at the age of 65; and

WHEREAS, changes in federal law have raised that age to 70; and

WHEREAS, effective January 1, 1994, the Age Discrimination in Employment Act will preclude all fixed retirement ages for faculty; and

WHEREAS, it is in the interest of both the senior faculty and the University that faculty retire before teaching and research effectiveness becomes compromised; and

WHEREAS, it is important to the academic freedom of all of the faculty that changes in the Age Discrimination in Employment Act not be met with weakening of the tenure system so as to facilitate removal of tenured faculty; NOW THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

(1) That the Vice President for Academic Affairs direct each school within the University to appoint a joint committee of tenured faculty and administrators to devise a plan to make attractive, without coercion of any sort, the election of retirement by senior faculty who may wish to do so; and

(2) That these plans consider the possibility of offering part-time teaching opportunities, office space (shared, if necessary), telephones, writing equipment, access to libraries and other research assistance, parking, and such additional facilitation as the committees find to be economically feasible and academically appropriate; and

~~(3) -- That these plans include timetables for effectuation; and~~

~~(4)~~ (3) That the plans be forwarded to the Vice President for Academic Affairs by January 1, 1992. ~~for implementation.~~

Committee on Appointment, Salary and Promotion Policies,
including Fringe Benefits
March 20, 1991

Adopted, as amended, April 12, 1991

[Any inquiries about this resolution should be directed to Professor Frey, Chair, Special Committee, Ext. 4-6975]

A RESOLUTION TO ESTABLISH FACULTY TASK FORCES ON
AFFIRMATIVE ACTION/EQUAL OPPORTUNITY (90/16)

WHEREAS, The George Washington University is a unique institution in Washington, D.C., not being associated with any church or government and can become a model for the future, building on our secular identity which encompasses an international faculty; and

WHEREAS, the Faculty Senate of The George Washington University recognizes the importance of fostering the same cultural diversity within the faculty that exists in society at large because such diversity will significantly enrich the academic and intellectual climate of the campus, make a positive long-term contribution to the problem of shortages of qualified people in areas critical to the national economy, and fulfill ethical and legal obligations of the institution; and

WHEREAS, developing a diverse faculty population which is truly representative of the nation is in the long-term interests of the University as it enriches its curriculum through diversity of perspectives and experiences, thereby enriching the educative experience of all; and

WHEREAS, encouraging diversity in the University is in the interest of our nation since diversity is at the heart of the opportunities for social and economic advancement of all and our University should serve as a model for other institutions; and

WHEREAS, the present affirmative action policy of The George Washington University sets out the minimum that is required by law, and the University has not, in the past, succeeded in recruiting and retaining significant numbers of minorities and women faculty; and

WHEREAS, all faculty actions must be initiated by the faculty concerned; NOW THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY:

That all academic units be, and are hereby, requested to establish task forces with specific objectives and strategies to deal with all of these issues, and report annually on their efforts to a permanent standing committee designated by the Executive Committee of the Faculty Senate; the function of the task forces will be to:

- (a) Conduct a thorough review of recruitment practices to determine how to encourage a greater number of women and minorities to be considered and hired in faculty and administrative positions, and subsequently provide annual reports of progress to the Faculty Senate; and
- (b) Seek out qualified women and minorities for faculty slots, including the possibility of visits at likely feeder schools, networking with minority institutions, participation in consortia to share resumes, the creation of a resume bank, possible involvement of adjunct faculty in seeking potential minority candidates, and other techniques that have shown success at other institutions; and
- (c) Hold seminars for their faculty to deal with the many forms of discrimination that can hamper the recruitment and retention of women and minorities; and
- (d) Examine their curricula to determine where topics that emphasize diversity can be incorporated in the core curricula; and
- (e) Examine their tenure and promotion practices to determine whether there may be subtle forms of discrimination present, and develop guidelines that recognize and foster diversity.

Special Committee to Formulate a Faculty Position
on Affirmative Action/Equal Opportunity
March 26, 1991

Adopted, April 12, 1991

REPORT OF THE SENATE SPECIAL COMMITTEE ON AFFIRMATIVE ACTION/EQUAL OPPORTUNITY

Preamble

As mandated by the Faculty Senate in November of 1990, the Senate Special Committee on Affirmative Action/Equal Opportunity met on a weekly basis to review existing practices and procedures at the University for recruitment, selection, retention and promotion of women and minorities. In cooperation with the University's Advisory Committee on the Recruitment and Retention of Minority and Women Faculty the committee has reviewed past practices and procedures, assessed the current situation, and developed the attached resolution for consideration by the Senate.

Background

The George Washington University seems unique in the greater Washington area in its character and in its potential for cultural and academic diversity through the increased presence of women and minority faculty. Like many institutions of higher education in the U.S.A., GW began with a religious affiliation; unlike many other Washington schools, we discontinued our religious affiliation in the 19th century. Reflecting this shift to secular status, the student population very slowly began to change to reflect greater cultural diversity.

Curricular reform, going back into the 1960's indicated the importance of cultural diversity in the curriculum. Many Senate resolutions, some going back a generation, indicate that the faculty through its senate representatives, wished to assure the rights of minorities and women faculty on this campus, and to recruit and retain women and minority faculty. Implementation of these resolutions has not always been as strong as it should be.

The Meaning of Cultural Diversity

The George Washington University has the unique opportunity to be both a national and an international university. Its location in Washington, DC enables the University to draw students and scholars from the local region, from around the United States and from all over the world. Thus, GW has the opportunity to become a positive model for diversity. If we are to continue to draw students from many cultural backgrounds, the diversity on campus must be perceived as genuine and enriching and must be present in our faculty, curriculum and overall campus atmosphere. We must become a University committed to making connections at all levels and from many different perspectives. We must broaden our view of the appropriate areas for scholarship and remove barriers that prevent new ideas and voices from being heard.

Our goal should be to create a climate where different views can be exchanged and where different lifestyles and ethnic backgrounds are treated with respect. To this end we must recognize that the attitudes and compositions of the faculty set the tone for the rest of the University. We must commit ourselves to the idea that greater diversity will enhance and enrich the academic environment for everyone. We must carefully examine our recruitment and selection processes to ferret out subtle practices that are discriminatory. We must reassess our reward and retention mechanisms to take into account the many skills and strengths needed for a viable University as well as the needs of the individual. We must look carefully at ways to enrich the curricula by including dimensions from different cultures and perspectives. Finally, we must individually and collectively do some soul-searching and be prepared to participate in seminars to better equip ourselves to teach, do research and work collaboratively in the multicultural environment we seek to create.

Recruitment and Retention of Minority and Female Faculty

Minority and female scholars in higher education frequently find that decisions about retention and tenure, in which their research output and capabilities are evaluated, are made entirely by majority male faculty members. They are made to feel that work focusing on issues that effect minorities and women warrants little scholarly respect. This creates undue pressure to compromise their research interests to conform with mainstream research.

Minority and female faculty members at predominately majority institutions are often socially and professionally isolated from colleagues, both minority and majority. They are isolated from majority colleagues due to existing social patterns that are hard to break and from minority colleagues due to small numbers. Often a sympathetic network of senior colleagues does not exist for junior minority faculty members, creating extreme psychological pressures. They are subjected to the same aggravating aspects of academic life without the usual compensating benefits that come from the intellectual and social stimulation of colleagues who share similar interests and outlook. They find it extremely difficult to break into the existing network.

A subcommittee of the University's Advisory Committee on the Recruitment and Retention of Minority and Women faculty recently reached the following conclusions with regard to minority and women faculty:

(1) The treatment of women varies considerably from department to department ranging from the extremes of genuine collegiality to sexual harassment and discrimination.

(2) Generally minority faculty experience isolation and often are asked to serve in extra capacities to provide racial/ethnic balance.

(3) In some departments - even in those which seem to be applying gender-neutral criteria for tenure and promotion - a "clubby," sexist atmosphere prevails.

(4) Neither the curriculum nor the faculty reflect the myriad contributions of women and minorities.

Special Problems of Female Faculty Members

Since women constitute roughly 50% of the potential workforce, it is desirable that they enter and become productive in as many fields as possible. There are many disciplines where women are underrepresented for reasons which are mostly of psychological nature. In these fields female faculty members can be very effective by acting as role models and mentors for young women. It is therefore in the University's interest to recruit and retain such female faculty members.

Women faculty members share with their male colleagues all the usual challenges of academic life. There are however several challenges which are truly due to their gender. These deserve special consideration if women are to be given the same chance for success in academia as their male colleagues.

The most serious problems are due to the effect of childbearing on research productivity and therefore on the tenure decision. It is not realistic to expect young women to postpone their childbearing until after they are awarded tenure. If they choose not to wait, they are not likely to produce the same number of publications as their equally capable male colleagues. A simple solution would be to allow a female faculty member to stop her tenure clock for a period of 6 months to a year while she has her child. After this time she would be expected to resume her full load of research activity and no other special allowances at tenure time would be given. Thus this would not be a version of the "mommy" track advocated in some professions.

A second problem area is the occasional harassment and intimidation of female faculty by some male students and faculty. This may not be a problem which is unique to women; however, women are more frequently victims of such behavior. This can have very adverse effect on the professor's teaching effectiveness and again influence the tenure decision. The University must demonstrate that such harassment is unacceptable through strong, well-publicized policies for dealing with it, and punish it severely.

Special Problems for Minority Faculty

National statistics, mirrored at GW, demonstrate a woeful underrepresentation of minority faculty in higher education. These studies have delineated a number of problems which contribute to this underrepresentation.

One problem for the minorities is the "superstar" phenomenon in which institutions seek minority scholars who are superstars when the existing faculty in general reflects a normal curve in terms of output and talent. Since superstars are in short supply, regardless of race, it is unrealistic to expect to increase minority membership of a faculty with significant numbers of people who are already superstars. Rather, institutions should commit themselves to providing support necessary to cultivate new scholars who will prove to be role models and leaders in the future.

Apart from these factors, which may be categorized as "unintentional" biases, there is the real problem of intentional bias and racism that can still exist under the protective cover of ambiguous, subjective, and informal anecdotal standards commonly used for hiring, promoting and making tenure decisions about faculty. These factors create an adverse climate for minority faculty members. The several highly publicized incidents at GW this year illustrate how potent the perception of racial hostility can be in creating a racially charged atmosphere detrimental to the social, intellectual, and ethical environment of the campus.

All of these issues need to be addressed head on if we are to make progress in significantly increasing the number of minority scholars in higher education. Formal mentoring programs, precise delineation of hiring and promotion criteria, research and travel support for junior faculty, and University level tenure review committees need to be seriously considered since they have proven to be successful in recruiting and retaining minority faculty elsewhere.

Future Implementation

As other universities that have seriously confronted the problem have discovered, solemn resolutions to ameliorate the situation, however laudable, do not provide a solution. If this university is serious about increasing the numbers of minorities and women in its faculty ranks, it will not stop with establishment of a one-semester long Senate Committee and the on-going institutional audit conducted by the President's Advisory Committee. This Committee is of the view that success in this area can only be measured by demonstrated progress in the hiring and promotion of minorities and women. It would be a pity if two years from today the numbers of minority and women faculty have not significantly improved. To this end, this Committee recommends the institutionalization of the university's design for diversity through a permanent Senate Committee charged with implementation of a concrete plan with set timetables and marks of progress, over the coming years. Such a Committee would, in its initial months, evaluate the institutional audit now being conducted as well as any recommendations rendered by the President's Advisory Committee. The Senate Committee would then encourage and assist each department and school to establish a concrete plan that assures accountability for progress on recruitment and retention.

Relative to recruitment, the powers of this Committee would presumably include the right to insist on periodic reports from individual departments or schools detailing that department's or school's effort to recruit minority and women faculty, including efforts to determine the size of the available "pool" of potential faculty candidates as well as special efforts to expand the numbers of qualified minorities and women candidates. The Committee would also serve to advise to schools or departments on recruitment efforts which have proven effective either at George Washington or elsewhere. If necessary, the Committee could recommend faculty retreats or other methods which have been shown to be useful elsewhere. The Committee would also be entitled to a report from administration officials on what financial resources, if any, or other logistical support the university is extending or can extend over the coming years to assist this effort. As in other universities, the Committee may decide to recommend specific hiring goals for the university as a whole or individual departments or schools, taking into account the progress of other comparable universities as well as available pools of qualified candidates in different fields of study.

Additionally, the Committee could be linked to a Higher Education Affirmative Action Partnership of Greater Washington/Baltimore, representing both traditionally white and traditionally black institutions. An Affirmative Action Officer, independent of all member institutions could exercise oversight responsibilities in assessing member institutions practices and progress as mentioned above. This commission could also become the network for implementing innovative recruitment and retention strategies.

Recruitment strategies would include: (1) use of voluntary early or partial retirement slots as a means to create tenure-accruing, job sharing opportunities for new faculty (2) institution recruits women and minorities to fill the above tenure accruing positions on job sharing basis which is a job shared by two individuals in two of the commission institutions. An important and crucial side effect of this activity would be the natural creation of, as mentioned above, a sorely needed structure for mentoring incoming professors as well as facilitating career transition for outgoing professors.

On the issue of retention, the Committee may find it necessary to recommend that all departments or schools adhere to established, publicly known criteria for tenure and promotion and that more attention be paid to the establishment of mentoring programs for all non-tenured faculty. The Committee may find it necessary to scrutinize tenure standards or other practices for hidden biases which adversely affect the progress of minorities and female candidates and recommend appropriate changes to individual departments or schools. Since there is some indication that minorities or women may sometimes not be hired for fear that these individuals will not later meet tenure or promotion standards and schools do not wish to create for themselves difficult decisions, the Committee may examine the possibility of alleviating such pressures by, for example, permitting all tenure decisions to be appealed at the option of the candidate to a university-wide tenure committee that would include minorities and women.

Retention strategies would include: (1) providing for assistance in housing, e.g. condos, apartments leased or sold to incoming new faculty; (2) developing and conducting Minority Scholars Summer Programs, spotlighting faculty and prospective faculty.

The Committee would also continue to assess the university's progress on these and related issues, such as progress on developing cooperative learning environments, reporting as necessary to the Faculty Senate and recommending changes in the university's bylaws or other institutional changes if these are needed. The Committee should also serve as liaison with other faculty committees whose jurisdiction may be inter-related, such as the curriculum committee.

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[Any inquiries about this resolution should be directed to Professor Parke, Chair, Committee on Faculty Development and Support, Ext. 4-7225]

A RESOLUTION RECOMMENDING THE ESTABLISHMENT
OF A UNIVERSITY PUBLICATIONS OFFICE (90/17)

WHEREAS, at present, there is no single office of the University responsible for collecting, publicizing, or distributing faculty internal reports; and

WHEREAS, the University as a whole and the faculty in particular would benefit by such an office; NOW THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY:

(1) That the Faculty Senate recommends the establishment of a University Publications Office having the responsibility for collecting, cataloging, publicizing, reproducing, and distributing faculty research in the form of internal reports; and

(2) That the University Publications Office would not preclude individuals or departments from distributing their own preprints.

Committee on Faculty Development and Support
March 6, 1991

Withdrawal requested by the Committee on Faculty Development and Support; approved by the Executive Committee April 4/19/91.

THE GEORGE WASHINGTON UNIVERSITY
INTERDEPARTMENTAL MEMORANDUM

March 6, 1991

To: The Faculty Senate
Fr: The Committee on Faculty Development and Support

Re: University Publications Office Resolution

In response to the questions asked by the Executive Committee, we have deleted reference to a particular office to house University Publications and added the last two paragraphs to this background report.

At present, there are no general guidelines or policy statements regarding the format of faculty research internal reports or preprints, nor any 'clearing house' for generating covers, cataloging, listing, or distributing papers to colleagues.

Many educational, research, and governmental institutions have an office responsible for internal publications. With such an office:

1. A periodic printed catalogue would be available from which outside researchers could order copies.
2. Internal reports would have a standard cover identifying the institution.
3. Printing services for internal reports could be housed centrally.

Electronic storage and reproduction of reports would make the cost of maintaining the facilities of such an office far lower than it would otherwise be. Moreover, those who order reports from a catalog can be charged for the cost of reproduction.

None of these services need exclude alternative means of internal publication, if particular departments or institutes wish to maintain their own such functions. In some cases, an author may wish to avoid the delay time incurred through the formalities of a 'George Washington University Internal Report'. Likewise, preprints of papers submitted to a journal often cannot be independently published elsewhere. However, individuals and departments may be advised on the format of preprint covers and reproduction methods.

Clearly, there are distinct advantages of such a publications office for both the faculty and the University.

Cost estimates to establish and run such an office vary, depending on the services rendered and the return expected. One should expect the need to support a staff worker at the administrative aide level at least half-time, and an investment in a workstation PC with a minimum of 320 MByte hard disk and attached laser printer (equipment cost of approximately \$5000., start up supplies: \$2000.) Faculty would submit hard copy of proposed University Publications and a diskette containing the text and graphics in an agreed upon set of optional standard formats, such as WordPerfect, TeX, and PostScript. The Publications Office would be responsible for creating and distributing a current catalog, establishing reasonable charges, and reproducing the manuscript with standard covers when requests arrive.

The University Publications Office has a natural home in the Office of Sponsored Research. However, staff in offices within the Gelman Library have expertise in many of the tasks required of a Publications Office, so that start-up time would be minimal.